

R10 InfoPage

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Q&D - Housekeeping Records: Records Disposition Schedules

SERIES DESCRIPTION	DISPOSITION	NARA NUMBER
File Plan Spreadsheet		
<p>CALENDARS, SCHEDULES, AND LOGS OF DAILY ACTIVITIES: <u>Schedules of activities</u>. Consists of calendars, appointment books, schedules, logs, diaries and other records documenting meetings, appointments, telephone calls, trips, visits and other activities of federal employees while serving in an official capacity.</p> <p>Item a: Senior officials and assistants to those officials Includes substantive information relating to official activities when not incorporated into memoranda, reports, correspondence or other records included in the official files.</p> <p>Item b: Other federal employees Includes substantive information relating to official activities when not been incorporated into official files.</p> <p>Item c: Routine materials Includes no substantive information regarding the daily activities of any Agency officials; or records of any federal employees containing substantive information, when not incorporated into official files.</p> <p>Function: 401 111</p>	<p>Item a: Permanent Close at end of calendar year.</p> <p>Transfer to the National Archives 5 years after file closure. If electronic, transfer data and documentation to the National Archives in a format as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item b: Disposable Close at end of calendar year.</p> <p>Destroy 2 years after file closure.</p> <p>Item c: Disposable Close at end of calendar year.</p> <p>Destroy when no longer needed.</p>	<p>N1-412-06-5</p> <p>Status: Final, 11/30/2013</p>
<p>CONGRESSIONAL CORRESPONDENCE: Contains copies of congressional correspondence received and referred to the program offices for reply. Includes copies of responses and background materials such as letters and memoranda, notes from meetings or telephone calls, transcripts from congressional inquiries or hearings, testimonies, and public hearing records. Includes correspondence from members of Congress and its committees.</p> <p>Item a: Record copy</p> <p>Function: 303-100 132</p>	<p>Item a: Disposable Close inactive records at end of congressional session.</p> <p>Destroy 5 years after file closure.</p>	<p>N1-412-07-1/3</p> <p>Status: Final, 05/31/2009</p>
<p>EPA Forms: Contains EPA forms and supporting materials.</p> <p>Item a: EPA form and documentation Includes instructions and documentation showing inception, scope, and purpose of the forms.</p> <p>Item b: Background materials Includes requisitions, specifications, processing data, and control records.</p> <p>Function: 404-141-02-04 109</p>	<p>Item a: Disposable Destroy 5 years after related form is discontinued, superseded, or canceled.</p> <p>Item b: Disposable Destroy when related form is discontinued, superseded, or canceled.</p>	<p>GRS 16/3</p> <p>Status: Final, 07/31/2008</p>
<p>FOIA CONTROL FILES: Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.</p> <p>Item a: Registers or listings</p> <p>Item b: Other files</p> <p>Function: 305-109-02-01 033</p>	<p>Item a: Disposable Destroy 6 years after date of last entry.</p> <p>Item b: Disposable Destroy 6 years after final action or after final adjudication by courts, whichever is later.</p>	<p>GRS 14/13</p> <p>Status: Final, 02/12/2007</p>
<p>FOIA REQUEST FILES: Files created in response to requests for information under the Freedom of Information Act (FOIA), consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the original file copy of requested record or copy</p>	<p>Item a(1): Disposable Destroy 2 years after date of reply.</p> <p>Item a(2)(a): Disposable Destroy 2 years after date of reply.</p>	<p>GRS 14/11</p> <p>Status: Final, 02/01/2007</p>

<p>excluding the official file copy of the records requested if filed herein.</p> <p>Item a(2)(a): Non-existent records, inadequate description, or failure to pay reproduction fees, and request not appealed Includes correspondence and supporting documents, excluding the official file copy of the records requested if filed herein.</p> <p>Item a(3)(a): Denials, full or partial, and request not appealed Includes correspondence and supporting documents, excluding the official file copy of the records requested if filed herein.</p> <p>Item a(3)(b): Denials, full or partial, and request appealed Includes correspondence and supporting documents, excluding the official file copy of the records requested if filed herein.</p> <p>Item b: Official file copy of requested records</p> <p>Function: 305-109-02-01 030</p>	<p>See disposition instructions for EPA 032 - Freedom of Information Act (FOIA) Appeals Files.</p> <p>Item b: Disposable Dispose of in accordance with the approved Agency disposition instructions for the related records, or with the related FOIA request, whichever is later.</p>	
<p>GENERAL CORRESPONDENCE: Contains copies of all non-controlled correspondence and memoranda relating to work accomplishments, personnel needs, and other routine activities of the office. Includes incoming letters and enclosures.</p> <p>Item a: Record copy</p> <p>Function: 401 127; (CORR 127)</p>	<p>Item a: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.</p>	<p>N1-412-06-6/4</p> <p>Status: Final, 02/01/2007</p>
<p>LEAVE RECORDS: Consists of leave and leave application files.</p> <p>Item a(1): Leave application files - If employee initials time card or equivalent Includes requests for and approvals of leave, such as SF-71 or equivalent, plus any supporting documentation. Also includes requests and approvals if the time card is submitted electronically by the employee and there are no discrepancies.</p> <p>Item a(2): Leave application files - If employee has not initialed time card or equivalent Includes requests for and approvals of leave, such as SF-71 or equivalent, plus any supporting documentation. Also includes requests and approvals if the time card is submitted electronically by the employee and there are discrepancies.</p> <p>Item b(2): Leave record - Maintained by creating office Includes record of employee leave such as SF-1150 or equivalent statement of leave balances.</p> <p>Function: 403-254 279</p>	<p>Item a(1): Disposable Destroy at end of following pay period.</p> <p>Item a(2): Disposable Destroy after GAO audit or when 3 years old, whichever is sooner.</p> <p>Item b(2): Disposable Close inactive records when signed by supervisor. Destroy 3 years after closure.</p>	<p>GRS 2/6a (Item a (1)) GRS 2/6b (Item a (2)) GRS 2/9b (Item b (2))</p> <p>Status: Final, 06/30/2012</p>
<p>OFFICE ADMINISTRATIVE FILES: Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures and communications, including facsimile machine and facility logs; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies, equipment, services; routine, administrative meeting arrangements; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical and narrative reports which are prepared in the office and forwarded to higher levels), contact lists, and other materials that do not serve as unique documentation of the programs of the office. Excludes: Record copies of organizational charts, functional statements and related records that document the essential organization, staffing and procedures of EPA that are scheduled separately. (ADMI 110) (Formerly BUDG 596)</p>	<p>Item a: Disposable Destroy when 2 yrs. old.</p>	<p>GRS 23/1</p> <p>Status: Final, 1/31/2009</p>

<p>Personnel Correspondence Files Related to General Administration: This item includes panel interview notes for candidates held in any office. Panel interview notes for candidates under merit promotion maintained by personnel offices are covered by EPA 562. This item also covers timesheets for Senior Environmental Employment (SEE) Program employees and personnel records related to interns. The Senior Agency Officials Separation or Transfer Records Checklist and Employee Separation Checkout List maintained by the Shared Service Centers are covered by this schedule. Copies of the separation forms maintained by other offices are covered by schedule 561, item c.</p> <p>For personnel correspondence and forms related to individual employees not maintained in the Official Personnel Folders (OPFs), see EPA 561.</p> <p>Item a: Record copy</p> <p>Function: 403 568</p>	<p>Item a: Disposable Destroy when 3 years old.</p>	<p>GRS 1/3</p> <p>Status: Final, 5/31/2011</p>
<p>PROGRAM MANAGEMENT FILES: Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational units. Specific types of records include correspondence; memoranda; staff meeting records such as agendas, background papers, attendance lists, and meeting minutes or summaries; routine office procedures; and reports relating to general policy and program matters, oversight reviews, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects.</p> <p>Excludes: General administrative and routine housekeeping records (EPA 110) and organization and program development records (EPA 145).</p> <p>Item b: Other than senior officials</p> <p>Function: 301-093 006</p>	<p>Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.</p>	<p>N1-412-06-6/2</p> <p>Status: Final, 12/31/2009</p>
<p>ROUTINE PROCUREMENT FILES: Contains Agency procurement and supply records documenting the acquisition of goods and non-personal services. Documents include copies of purchase documents (e.g., purchase requisitions, travel authorizations, training authorizations, contracts, credit card and bank card slips), direct deposit forms for vendors, specifications, bids, schedules of delivery, initiating requisitions, receipt, inspection, and payment. Related background material, such as computer printouts, funding obligations reports, etc., are also covered by this series.</p> <p>Excludes: Copies of purchase requisitions maintained in originating program offices covered by EPA 110.</p> <p>Item a(1)(a): Procurement organization copy of transactions that exceed the thresholds, dated on or after July 3, 1995 Includes transactions and related papers that exceed the simplified acquisition threshold of \$100,000 and all construction contracts exceeding \$2,000.</p> <p>Item a(1)(b): Procurement organization copy of transactions below the thresholds, dated on or after July 3, 1995 Includes transactions and related papers at or below the simplified acquisition threshold of \$100,000 and all construction contracts at or below \$2,000.</p> <p>Item a(2)(a): Procurement organization copy of other transactions exceeding \$2,000, dated earlier than July 3, 1995 Includes transactions and related papers that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.</p>	<p>Item a(1)(a): Disposable Close inactive records upon completion. Destroy 6 years, 3 months after file closure.</p> <p>Item a(1)(b): Disposable Close inactive records upon completion. Destroy 3 years after file closure.</p> <p>Item a(2)(a): Disposable Close inactive records upon completion. Destroy 6 years, 3 months after file closure.</p> <p>Item a(2)(b): Disposable Close inactive records upon completion. Destroy 3 years after file closure.</p> <p>Item b: Disposable Destroy when funds are obligated.</p> <p>Item c: Disposable Destroy upon termination or completion.</p> <p>Item d: Disposable Close inactive records upon transfer. Destroy 5 years after file closure.</p>	<p>GRS 3/3</p> <p>Status: Final, 7/31/2010</p>

<p>Includes transactions and related papers that utilize small purchase procedures and all construction contracts under \$2,000</p> <p>Item c: Other copies of records described above used by component elements of a procurement office for administrative purposes</p> <p>Item d: Data submitted to the Federal Procurement Data System (FPDS)</p> <p>Includes electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.</p> <p>Function: 405 036</p>		
<p>SUPERVISOR'S PERSONNEL FILES AND DUPLICATE OPF DOCUMENTATION: Records consist of correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, training, and records on individual employees duplicated in or not appropriate for the OPF.</p> <p>Item a: Supervisors' personnel files</p> <p>Item b: Duplicate documentation</p> <p>Includes other copies of documents duplicated in OPFs, not provided for elsewhere.</p> <p>Function: 403-256 122</p>	<p>Item a:Disposable</p> <ul style="list-style-type: none"> • Close inactive records when employee separates or transfers from EPA. • Destroy 1 year after file closure. <p>Item b:Disposable</p> <ul style="list-style-type: none"> • Close inactive records at the end of the month. • Destroy 6 months after file closure. 	<p>GRS 1/18</p> <p>Status: Final, 01/31/2013</p>
<p>TIME AND ATTENDANCE SOURCE RECORDS: Contains forms for payroll processing and preparation, including time and attendance records upon which leave input data is based, such as time or sign-in sheets; timekeeper signature cards (EPA 2560-1), time cards (EPA 2565-1); leave and earnings statements (EPA 2560-25); payroll error notice (EPA 2560-2); flexitime records; leave applications for jury and military duty; authorized premium pay or overtime, maintained at duty post, and related documents upon which leave input data is based. Excludes: Leave records scheduled as EPA 279.</p> <p>Item a(1): Source records maintained by Payroll Management and Outreach Staff (PMOS)</p> <p>Item a(2): Source records - Copies maintained by other offices</p> <p>Function: 402-126 276</p>	<p>Item a(1):Disposable</p> <p>Destroy after GAO audit or when 6 years old, whichever is sooner.</p> <p>Item a (2): Disposable</p> <p>Close inactive records at end of pay period.</p> <p>Destroy 1 year after file closure.</p>	<p>GRS 2/7 (Item a(1)) N1-412-07-69/1 (Item a(2))</p> <p>Status: Final, 6/30/2012</p>
<p>TRANSITORY FILES: Consists of documents of short-term interest that have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence include: Routine requests for information or publications and copies of replies that require no administrative action, no policy decision, and no special compilation or research for reply.</p> <p>Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.</p> <p>Quasi-official notices, including memoranda and other records, that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.</p> <p>Item a: Record copy</p> <p>Function: 401 167</p>	<p>Item a:Disposable</p> <p>Close inactive records at end of month.</p> <p>Destroy 3 months after file closure.</p>	<p>GRS 23/7</p> <p>Status: Final, 02/01/2007</p>
<p>TRAVEL: Includes travel records used to account for employees' time and expense while on travel status, and to request reimbursement or balance due on travel funds authorized. Records consist of travel</p>	<p>Item e:Disposable</p> <p>Destroy when 6 years and 3 months old.</p> <p>Item f:Disposable</p>	<p>N1-412-06-22</p> <p>Status: Final, 08/31/2009</p>

and related documents.

Item e: Original receipts

Item f: Documentation not processed electronically

Function: 401-122 028

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